

14.1 General Discussion

The previous three parts of this manual explained how local agencies may qualify to receive Federal Highway Administration (FHWA) funding for their transportation projects. The remainder of the manual explains procedures for developing specific projects.

Once a local agency has qualified to receive FHWA funds, as described in Chapter 12, the next action is to apply for funds to develop specific projects in its transportation program. Depending on their size and complexity, different projects may require different development procedures. The remaining parts of the manual are arranged to reflect these differences.

The next part, “General Project Development,” Chapters 21-27, describe activities required during preliminary engineering on all projects.

The part entitled “Special Project Development Processes,” Chapters 31-34, describes activities that may be required on some projects.

The parts entitled “Design” and “Construction and Post Construction,” Chapters 41-46 and 51-53, offer the local agency a choice of procedures, depending on whether its projects are located in urban or rural areas and whether it or the state will administer its construction contracts.

The part entitled “Miscellaneous,” Chapters 61-65, describe the activities that are required on projects with an agency’s own forces, for work on transportation enhancements, or work on the National Highway System (NHS).

The specific requirements for a project may change as project development progresses and as more information about a project becomes available. Further details of the specific requirements are shown in the Project Development Process Flow Chart and Checklist. The meanings of unfamiliar terms may be found in the Glossary. Once the local agency has identified the steps required on a particular project, only the parts in the manual that deal specifically with those steps need be referred to.

14.2 Project Development Process Overview

This section describes the project development process by setting forth project phases, documentation requirements, options for construction administration, and required reviews and approvals.

.21 Phases of Authorization. FHWA funds may be authorized for the following project phases:

- a. Preliminary engineering (Planning (STP and CM/AQ funds)).

- b. Right-of-way acquisition.
- c. Construction.

Requests for preliminary engineering funds generally should be made in advance of the right-of-way acquisition, environmental studies, or public hearings to receive proper reimbursement for the costs.

Construction funds may be requested with preliminary engineering funds when:

- a project does not require any of the items mentioned in the previous paragraph,
- the final Environmental Classification Summary (ECS) completed, and
- the local agency will start construction within six months of fund authorization.

.22 Documentation Required for Authorization of Funds.

- a. Planning With STP Funds. “Urban Transportation Planning” is an interdisciplinary process for developing and monitoring long- and short-range transportation plans and improvement programs. These plans and programs are formulated with due consideration of present and anticipated future social, economic, and environmental factors and the safety and mobility needs of the population of the urban area. It is a dynamic process, in that it is continuously monitored to accommodate changes of land use, economic conditions and other factors influencing travel patterns. Because of the vast amount of capital expenditures required in the implementation of transportation systems (both highway and transit related), these projects could radically influence land use development in an area or region. Due to the substantial influences that transportation improvements have on the character of the land, it is important that transportation improvements reflect the overall regional social and economic objectives pertaining to community development.

FHWA funded planning activities and studies are identified in Title 23, Part 420 USC, as activities not included in a work program but necessary in development of procedures and project identification.

For planning and Transportation Demand Management (TDM) funding, the following documents are required:

1. Project prospectus for planning projects (Chapter 21).
2. Local Agency Agreement.
3. Evidence of STIP inclusion.

- b. Preliminary Engineering Funds. When applying for preliminary engineering funds only, the following documents are required:
 1. Project Prospectus (Chapter 21).
 2. Local Agency Agreement (Chapter 22).
 3. Typical sections, vicinity map, and evidence of STIP inclusion.
- c. Right-of-Way Funds. When applying for right-of-way funds, after preliminary engineering funds have developed right-of-way plans, the following documents are required, if appropriate:
 1. Supplement to original Local Agency Agreement (Chapter 22).
 2. FHWA approval of environmental documents (Chapter 24).
 3. Relocation plan, if relocation is required (Chapter 25).
 4. Right-of-way plan (Chapter 25).
 5. Right-of-way Project Funding Estimate or True-Cost estimate (Chapter 25).
 6. Evidence of STIP inclusion.
- d. Construction Funds. The following documents must be submitted to request construction funds:
 1. Supplement to Local Agency Agreement.
 2. Right-of-way certification (if required).
 3. Final FHWA approval of environmental documents (Chapter 24).
 4. Evidence of STIP inclusion.
- e. Combined Preliminary Engineering and Construction Funds (no right-of-way acquired). When applying for preliminary engineering and construction funds simultaneously, the following documents are required:
 1. Project Prospectus.
 2. Local Agency Agreement.
 3. Final FHWA approval of environmental documents (Chapter 24).
 4. Typical sections, vicinity map, and evidence of STIP inclusion.

.23 Construction Contract Administration. The local agency has the option of:

- a. Administering the contract if it has approved certification acceptance procedures and operates in compliance with Chapter 13.
- b. Requesting that WSDOT administer the contract.

- c. Using its own forces to perform the work if operating under Certification Acceptance (CA) (Chapter 61).
- d. Requesting that another public agency (one operating under CA) perform the work (Chapter 13).
- e. Performing contract administration by a consultant (Chapter 31 under CA).
- f. Referring to Chapter 62 for administering enhancement projects.

.24 Reviews and Approvals. The chart below shows required approvals for NHS and non-NHS projects using local CA or non-CA agencies. These actions apply to the NHS and non-NHS, regardless of project funding source. New/reconstruction (N/R) includes HOV, park and ride, and PCC pavement rehabilitation projects.

		Local non-NHS	Local non-CA non-NHS	LA NHS
Action				
a.	PE Fund Auth. and Modif./Supp.	F	F	F
b.	Exceptions to Design Stan.	S	S	S
c.	Design App. (inc. prelim. and adv. detail br. plan app.	L	S	S
d.	Experimental Work Plans	F	F	F
e.	PS&E Approval	L	S	S
f.	State furnished mat., cost-effective determination	L	S	S
g.	Prop item, pub. int. find.	L	S	S
h.	Concurrence in Award	L	S	S
i.	Buy America Exemption	F	F	F
j.	Tied Bids	L	L	L
k.	State Forces Work	S	S	S

F = FHWA
S = State
L = Local CA Agency

When the local agency is the approving authority for any phase of work, it must operate within the *Local Agency Guidelines* and all applicable federal, state, and local laws and regulations. As outlined in Chapter 13, WSDOT will monitor the agency's procedures. WSDOT or another CA agency is the approval authority when the local agency is not certified.

14.3 Standards

Non-NHS standards are addressed in Chapters 42 and 62.

For NHS routes, AASHTO design standards, approved by the FHWA Headquarters Office, will apply to all new construction and reconstruction projects; and to all resurfacing, restoration, and rehabilitation (3-R) multilane limited access highway projects on the NHS. State design standards approved by the FHWA Division Office, Section 430 WSDOT *Design Manual* (M 22-01), will apply to all other NHS highways. These standards apply to all NHS projects regardless of funding sources. FHWA approval is required for all standard plans, amendments, and general special provisions intended for use on FHWA construction projects on the NHS.

14.4 Projects Within Interstate Rights-of-Way

Since all projects within the Interstate rights-of-way (R/W) have the potential to impact safety and operations on the Interstate route, they must incorporate Interstate design criteria and construction quality. It is the Federal Highway Administration's (FHWA) policy that all projects within the Interstate R/W should be administered by WSDOT. However, given the scope and extent of non-Interstate projects within the Interstate R/W, it is recognized that local agency administration of some projects may be acceptable, and all requests will be considered on a case-by-case basis.

Whenever a local agency proposes a project within the Interstate R/W, they must develop an agreement with WSDOT that clearly outlines their duties and responsibilities to maintain the integrity of the Interstate facility, from both the safety and quality perspectives. The agreement should be executed prior to design approval and must be executed prior to advertising for bids. The following requirements must be incorporated into the agreement:

Responsibilities: WSDOT and the local agency must each assign a project engineer.

Design: WSDOT must review and approve all highway plans, profiles, deviations, structural plans, false-work plans, shoring plans, and traffic control plans for any work within the Interstate R/W.

Plans, Specifications, and Estimates: WSDOT must review and approve the plans and specifications for any work within Interstate R/W.

Advertising and Award: The local agency must confer with the WSDOT project engineer on any pre-award issues affecting the quality and timing of the contract.

Construction: All construction, materials, and quality control requirements contained in the current editions of the WSDOT *Standard Specifications* and *Construction Manual* must be incorporated into the agreement.

Contract Changes: All contract changes affecting work within the Interstate R/W must have the prior concurrence of the WSDOT project engineer.

Final Inspection: The final inspection of the project must be performed by WSDOT Olympia Service Center or the Region Construction (Operations) Engineer and must evidence their approval.

Only local agencies with full certification acceptance authority may enter into such an agreement with the WSDOT.

The agreement must be submitted to FHWA. FHWA reserves the right to assume full oversight of the project.

14.5 Project Development Process Flow Chart and Checklist

The flow chart (see Appendix 14.61) and checklist (see Appendix 14.62) depict the sequence of major activities necessary to develop transportation projects using FHWA funds. The forms required for a project are shown on the list of forms. Since the type of work varies on projects, see the WSDOT *Construction Manual*, Chapter 11, "Forms," for additional required forms.

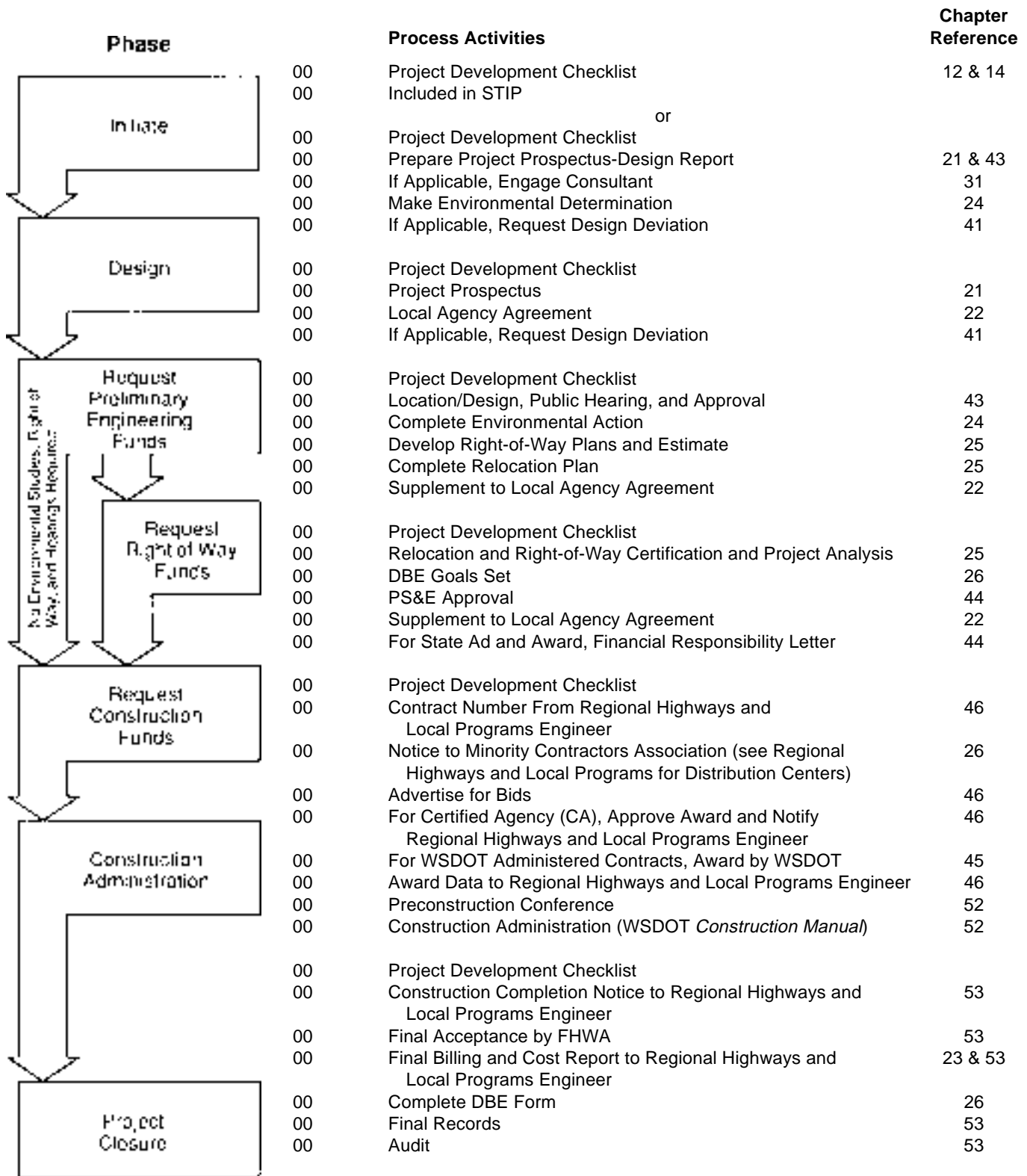
It is recommended that a copy of the checklist be inserted in the project file and used to initiate and document the activities necessary to complete a project.

14.6 Appendixes

[14.61 Project Development Process Flow Chart](#)

[14.62 Project Development Checklist](#)

14:P65:DP/LAG1



Project Title: _____

Project Location: _____

Road or Street Number: _____ FA Program: _____

Project Initiation (Chapters 12, 32, and 34)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Project in STIP
_____	_____	Federal aid program form (Sheet 1 of Prospectus) to:
		_____ Metropolitan planning organization
		_____ Or WSDOT (Regional Highways and Local Programs)
_____	_____	Program of project approved by appropriate agency

Project Prospectus (Chapters 21, 24, 41, and 43)

_____	_____	Sheet 1
		_____ Project information, local agency project number
		_____ Description of proposed work and existing facility
		_____ Cost estimate of all phases
		_____ Proposed obligation date
		_____ Environmental determination (CE, EIS, EA)
		_____ Request species listing from USFWS, NMFS, DNR, and WDFW
		_____ Signature block
_____	_____	Sheet 2
		_____ Geometric design data
		_____ Accident data
		_____ Environmental considerations
		_____ Performance of work
_____	_____	Sheet 3
		_____ Right-of-way relocation
		_____ Utility relocations
		_____ FAA Involvement
		_____ Signature
		_____ 3-R safety checklist, typical roadway, vicinity map
_____	_____	Project application checklist

Local Agency Agreement (Chapters 22 and 23)

<u>Initials</u>	<u>Date or N/A</u>
-----------------	------------------------

<u> </u>	<u> </u>	Billing address
<u> </u>		<u> </u> Description of work matches prospectus
<u> </u>		<u> </u> Check math on agreement
<u> </u>		<u> </u> Federal aid matching percentage
<u> </u>		<u> </u> Method of financing
<u> </u>		<u> </u> Agreement signed by approving authority

Request Preliminary Engineering Funds (Chapter 14)

<u> </u>	<u> </u>	Project programmed
<u> </u>	<u> </u>	Project application package to Regional Highways and Local Programs Engineer:
<u> </u>		<u> </u> Project prospectus with attachments
<u> </u>		<u> </u> Local Agency Agreement
<u> </u>		<u> </u> Project application checklist completed
<u> </u>	<u> </u>	PE funds authorized by Assistant Secretary for Highways and Local Programs

Consultant Selection Process (Chapter 31)

<u> </u>	<u> </u>	Independent estimate for consultant services and recommendation (request) to approving authority
<u> </u>	<u> </u>	Receive approval to advertise for consultant services
<u> </u>	<u> </u>	Advertise for consultant services
<u> </u>	<u> </u>	Develop consultant evaluation selection criteria
<u> </u>	<u> </u>	Select minimum of three best qualified firms
<u> </u>	<u> </u>	Submit request for approval of selected firm to approving authority
<u> </u>	<u> </u>	Conduct preaward audit (if necessary) before negotiations
<u> </u>	<u> </u>	Approving authority approves selection, negotiation begins
<u> </u>	<u> </u>	Negotiation completed — submit final draft of agreement, etc., to the approving authority
<u> </u>	<u> </u>	Receive approval from approving authority
<u> </u>	<u> </u>	Agreement signed by consultant
<u> </u>	<u> </u>	Agreement executed by approving authority (consultant may now begin work)
<u> </u>	<u> </u>	Notice to proceed sent to the consultant
<u> </u>	<u> </u>	Send copy of agreement to Regional Highways and Local Programs Engineer

Consultant Administration (Chapter 31)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Oversee the consultant's work and billings to ensure compliance with the agreement
_____	_____	Prepare diary to record discussions and visitation with the consultant
_____	_____	Check consultant billings regarding employee classification, wage rate, actual invoices for direct non salary costs, etc.
_____	_____	Enter consultant payment on ledger system
_____	_____	Conduct consultant employee interviews

Environmental Processes (Chapter 24)

Categorical Exclusion

_____	_____	For Categorical exclusion to be approved by FHWA complete the Biological Assessment (BA) process and Section 106 process
_____	_____	Submit species listings requests
_____	_____	Submit determination of APE to SHPO/THPO
_____	_____	Complete the ECS using the listings
_____	_____	Submit completed draft BA to WSDOT Regional Highways and Local Programs for review
_____	_____	Submit completed Section 106 documentation to WSDOT Regional Local Programs for review
_____	_____	Revise and re-submit BA to Regional Highways and Local Programs Office
_____	_____	Get concurrence from WSDOT, NMFS, and/or USFWS
_____	_____	Get concurrence from SHPO/THPO
_____	_____	Submit concurrence letters for BA and Section 106 requirements, final BA, final Section 106 documentation, and final ECS to Regional Highways and Local Programs Office for FHWA approval

Environmental Assessment

_____	_____	Prepare SEPA checklist for local environmental assessment
_____	_____	Submit draft environmental assessment to Assistant Secretary for Highways and Local Programs
_____	_____	Revise draft environmental assessment
_____	_____	Approve draft environmental assessment
_____	_____	Publish environmental assessment notice
_____	_____	Publish opportunity for public hearing
_____	_____	Submit revised environmental assessment and legal notice to Assistant Secretary for Highways and Local Programs
_____	_____	Finding of no significant impact by FHWA
		-or-
_____	_____	Establish requirement for Environmental Impact Statement

Environmental Impact Statement (Chapter 24)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Publish notice of intent
_____	_____	Submit interdisciplinary team recommendations to project manager
_____	_____	Develop public involvement plan
_____	_____	Develop data inventory and evaluation from interdisciplinary team
_____	_____	Project manager reviews preliminary discipline reports
_____	_____	Submit preliminary Draft Environmental Impact Statement to Assistant Secretary for Highways and Local Programs
_____	_____	Receive Washington State Department of Transportation comments on above
_____	_____	Submit camera-ready Draft Environmental Impact Statement to Regional Highways and Local Programs Engineer for signature
_____	_____	Receive approval to print Draft Environmental Impact Statement
_____	_____	Submit circulation copies to Regional Highways and Local Programs Engineer
_____	_____	Publish in Federal Register (minimum 45 days comment period)
_____	_____	For state route, obtain Washington State Department of Transportation approval before advertising for public hearing
_____	_____	Advertise opportunity for public hearing
_____	_____	Submit preliminary Final Environmental Impact Statement and draft record of decision to Regional Highways and Local Programs Engineer
_____	_____	Receive comments from Assistant Secretary for Highways and Local Programs
_____	_____	Receive approval to print Final Environmental Impact Statement
_____	_____	Submit final Environmental Impact Statement to Regional Highways and Local Programs Engineer
_____	_____	Receive FHWA approval
_____	_____	Circulate final Environmental Impact Statement
_____	_____	Final record of decision approved by FHWA

Location and Design Approval (Chapter 43)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Submit project prospectus
_____	_____	Submit design report
_____	_____	Submit pavement design criteria
_____	_____	Meet public hearing requirements
_____	_____	Meet environmental requirements
_____	_____	Concurrence with BA effect determinations
_____	_____	ECS approval by FHWA
_____	_____	For major bridge project, submit type, size, and location study to Regional Highways and Local Programs Engineer
_____	_____	Obtain FHWA approval of the type, size, and location study
_____	_____	For traffic signal projects, submit warrants for signalization to Regional Highways and Local Programs Engineer
_____	_____	Obtain location and design approval
_____	_____	Publish design approval notice

Right-of-Way Funding and Acquisition

Funding (Chapter 14)

_____	_____	Project in STIP
_____	_____	Complete design hearing requirements
_____	_____	Approve right-of-way plan
_____	_____	Submit right-of-way relocation plan (if required) to Regional Highways and Local Programs Engineer
_____	_____	Submit right-of-way acquisition plan, right-of-way project funding estimate or true cost estimate, supplement to Local Agency Agreement and FHWA approval of environmental documents, to Regional Highways and Local Programs Engineer with request for right-of-way funds
_____	_____	Receive authorization to acquire R/W from Assistant Secretary for Highways and Local Programs

Acquisition (Chapter 25)

I _____	_____	Acquisition procedures approved by <u>Director of</u> Highways and Local Programs
_____	_____	Set up documentation file for each parcel
_____	_____	Set up commitment file
		<u>Appraisal:</u>
_____	_____	Appraiser meets WSDOT criteria
_____	_____	Give landowner opportunity to accompany appraiser
_____	_____	Signed appraiser certification in file

<u>Initials</u>	<u>Date or N/A</u>		
		<u>Appraisal Review:</u>	
_____	_____	Appraisal reviewer meets WSDOT criteria	
_____	_____	Date of value determination precedes commencement of negotiations	
_____	_____	Just compensation set by agency	
_____	_____	Signed review appraiser certification in file	
		<u>Negotiations:</u>	
_____	_____	Prepare diary of all owner contacts	
_____	_____	Give owner written statement of just compensation (<u>Offer Letter</u>)	
_____	_____	Ensure that settlement contains construction clauses	
_____	_____	Obtain evidence of clear title	
_____	_____	<u>Negotiator disclaimer statement in file</u>	
		<u>Relocation Plan:</u>	
_____	_____	Approved by WSDOT	
_____	_____	Send written notice to vacate	
_____	_____	Check for filed appeal against local agency offer	
_____	_____	Complete relocation	
_____	_____	Complete acquisition	
_____	_____	Complete administrative settlement documentation	
_____	_____	Place a copy of deeds in file	
_____	_____	Send:	
		_____ Letter of certification	
		_____ LPA coordinator conducts certification review	
		_____ WSDOT's certification by <u>Real Estate Services, Assistant Director Local Agency Projects</u>	

Plans, Specifications, and Estimates (Chapters 24, 26, 27, and 44)

<u>Initials</u>	<u>Date or N/A</u>	
		Review commitment and correspondence file
		When applicable, secure the following permits or interagency coordination:
		Airport roadway clearance from FAA
		Coastal zone management compliance from DOE
		For cultural, archeological, or historic sites SHPO contacted
		Obtain concurrence letters for environmental determination
		Request updated ESA species lists every six months
		When waters modified or controlled, USFWS and State Department of Fisheries and Wildlife consulted
		When stream is affected, permit from DOE
		For timber supporting land, permit from DNR
		When construction might reduce water quality, contact DOE
		For quarries of <u>2 acres (0.81 ha)</u> and <u>10,000 tons (9 091 metric tons)</u> or more DNR contacted
		Waters/wetlands — Army Corps of Engineers contacted
		For navigable waterways, permit from Coast Guard obtained
		If wetlands are affected, U.S. Fish and Wildlife Service or National Marine Fisheries Services contacted
		Utility agreement obtained
		Railway agreement(s) obtained
		PS&E completed:
		Vicinity map
		Summary of quantities
		Pit, quarry, stockpile, and waste sites
		Reclamation plans
		Roadway sections
		Plans/profiles
		Utility
		Structure notes
		Signing
		Illumination
		Bridge plans
		Traffic control
		Standard plans
		Sheets numbered and dated
		Each sheet signed and stamped by Professional Engineer
		Bridge plans, design calculations, and soil report to Regional Highways and Local Programs Engineer (State Ad and Award only)

		Form FHWA-1273 and latest amendment included
		Log of test borings
		Training requirements
		EEO requirement clauses
		For steel, included Buy America requirement
		Traffic control special provisions
		Specialty items
		General special provisions and amendments arranged in order and indexed
		Project proposal
		Federal Aid Proposal Notices (2 pages)
		Noncollusion Declaration
		Contract
		Certification for Federal Aid Contracts (Lobbying)
		DBE Utilization Certification
		Engineer's estimate complete
		Documentation for each item in engineer's estimate
		Justification for nonparticipating items
		Detailed documentation for lump sum items available in project files
		Estimate to Regional Highways and Local Programs Engineer
		Training goal set by Assistant Secretary for Highways and Local Programs
		DBE goal set by Assistant Secretary for Highways and Local Programs
		Approval of local agency supplied materials
		Sources approved by approving authority
		Approval of stockpiling by Assistant Secretary for Highways and Local Programs (when payment is requested for material when stockpiling aggregates, etc., for use on a future federal aid project)
		Distribution of preliminary plans as determined by local agency
		Field review of PS&E (State Ad and Award only)
		For tied bids, letter from approving authority
		For State Ad and Award, financial responsibility letter with PS&E documents sent to Regional Highways and Local Programs Engineer
		PS&E approved by approving authority
		Plans, contract specifications and estimate stamped, signed, and dated, and on file in the local agency office
		State and federal wage rates added to ad plans
		PS&E sent to Regional Highways and Local Programs Engineer

Request Construction Funds (Chapter 14)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Project in STIP
_____	_____	Send letter with the following attachments to Regional Highways and Local Programs Engineer requesting construction funds:
_____	_____	Supplement to Local Agency Agreement, if project includes other phases
_____	_____	Letter of right-of-way certification
_____	_____	Final FHWA approval of environmental documents

Local Ad and Award

Advertise for Bids (Chapter 46)

_____	_____	Get Highways and Local Programs Contract Number _____ from Regional Highways and Local Programs Engineer
_____	_____	Approve ad period of less than 3 weeks
_____	_____	Publish notice of bid opening
_____	_____	Date of publication for sealed bids

Bid Opening (Chapter 46)

_____	_____	Issued addendum (if within one week of bid opening, bid opening should be delayed)
_____	_____	Opened Bids
_____	_____	Prepared bid tabulation sheet
_____	_____	Checked submitted bids for tabulation errors
_____	_____	Completed bid and bidders tabulation sheet
_____	_____	Checked DBE participation project goals — verify DBE certification status
_____	_____	Determine responsive bid
_____	_____	Determine contractor qualifications
_____	_____	Contractor registered by Washington State Department of Labor and Industries
_____	_____	Contractor licensed as required by the laws of the state of Washington
_____	_____	<u>Excluded Parties Listing System checked and documented - (http://epls.arnet.gov)</u>
_____	_____	Award recommendation sent to approving authority
_____	_____	When low bid is over engineer's estimate, submit justification and letter of award recommendation to approving authority
_____	_____	Submit supplement to Local Agency Agreement
_____	_____	Supplement approved by Assistant Secretary for Highways and Local Programs

Award of Contract (Chapter 46)

Initials	Date or N/A	
_____	_____	Establish contract award date _____
_____	_____	Sent "Award Letter" to successful low bidder
_____	_____	Sent "Condition of Award" to successful low bidder if DBE goals are set in the contract
_____	_____	Notify all unsuccessful bidders
_____	_____	Return bid bonds (except for first three)
_____	_____	Notify second and third bidders of holding bid bonds until execution
_____	_____	Sent to Regional Highways and Local Programs Engineer:
_____	_____	_____ Tabulation of bids
_____	_____	_____ Engineer's estimate
_____	_____	_____ Actual versus estimated costs shown in Local Agency Agreement
_____	_____	_____ Award letter
_____	_____	_____ DBE utilization certification
_____	_____	_____ Estimated date of contract completion
DATE OF AWARD IS CUTOFF FOR CHARGING TO PRELIMINARY ENGINEERING		

Construction Administration

Execution of Contract (Chapter 46)

_____	_____	Sent contract and contract bond papers to contractor for signature
_____	_____	"Certificate of Insurance" received from contractor
_____	_____	Approving authority executed contract documents
_____	_____	Notified the contractor by phone of the execution of the contract
_____	_____	Executed a copy of the contract to contractor
_____	_____	Sent notice to proceed to contractor, with cc to Regional Highways and Local Programs Engineer
_____	_____	Returned bid bonds to second and third bidders

Preconstruction Conference (Chapter 51)

_____	_____	Notice of preconstruction conference to:
_____	_____	_____ Contractor
_____	_____	_____ Regional Highways and Local Programs Engineer
_____	_____	_____ Affected utility companies
_____	_____	_____ Police department
_____	_____	_____ Fire department
_____	_____	_____ Hospital
_____	_____	_____ Ambulance service
_____	_____	_____ Post Office
_____	_____	_____ Others _____
_____	_____	_____
_____	_____	_____

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Preconstruction conference agenda prepared
_____	_____	Preconstruction conference held
		Minutes of meeting to:
_____		_____ Contractor
_____		_____ Subcontractors
_____		_____ Regional Highways and Local Programs Engineer
_____		_____ Other attending persons
_____		_____ Invited but not represented agencies
_____		_____ Project file
_____	_____	"Training Program":
_____		_____ Received from contractor
_____		_____ Approved by agency
_____	_____	"Apprentice/Trainee":
_____		_____ Approval request from contractor
_____		_____ Approved by agency
		<u>Construction Documentation (Chapter 52)</u>
_____	_____	"Record of Material Testing" received from WSDOT Materials Laboratory
_____	_____	Contractor provides copies of permits obtained from other agencies and/or property owners:
_____		_____ Washington State Dept. of Wildlife/Fisheries-Hydraulic Permit
_____		_____ Washington State Dept. of Ecology
_____		_____ Irrigation Regionals
_____		_____ Burlington Northern Railroad
_____		_____ Union Pacific Railroad
_____		_____ Air Pollution Control Authority
_____		_____
_____		_____
_____		_____
_____	_____	Temporary water pollution control plan approved
_____	_____	Agency requests updated ESA species listing every six months
_____	_____	Approved contractor's progress schedule
_____	_____	Received railroad insurance from contractor
_____	_____	Construction diary started
_____	_____	Inspector's diary started
_____	_____	"Certification of Materials Origin" received from contractor
_____	_____	Material source approval received
_____	_____	Plans for falsework and forms:
_____		_____ Received from contractor
_____		_____ Approved by agency

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Required job site posters placed by contractor
_____	_____	_____ FHWA 1495 and 1495A — “Wage Rate Information”
_____	_____	_____ FHWA 1022 — “Fraud Notice Poster”
_____	_____	_____ OFCCP-1420 — “EEO is the Law”
_____	_____	_____ WISHA LI-416-81 — “Safety and Health Protection on the Job”
_____	_____	_____ Industrial insurance poster — LI-242-91
_____	_____	_____ Your rights as a worker — F700-053-000
_____	_____	_____ Family care and maternity — F700-025-000
_____	_____	_____ Approved “Statement of Intent to Pay Prevailing Wage”
_____	_____	_____ Copy of wage rates from contract documents
_____	_____	Daily construction signing records started (Checked twice daily and recorded)
_____	_____	Weekly statement of working days started
_____	_____	Material acceptance sampler appointed
_____	_____	Material independent assurance sampler appointed
_____	_____	Appointed office engineer for progress estimates and final records
_____	_____	Obtain a copy of the scale certifications
_____	_____	Daily scale check
_____	_____	Received FHWA Form 1391 for each July from contractor and subcontractors
_____	_____	FHWA Form 1392 prepared and sent to Regional Highways and Local Programs
_____	_____	Received “Request to Sublet Work” and “Subcontractor or Agent Certification” from contractor
_____	_____	Approved request to sublet (subject to 70 percent limit)
_____	_____	Received “Intent to Pay Prevailing Wages” from contractor, subcontractors, and agents
_____	_____	Received approved “Intent to Pay Prevailing Wages” from Labor and Industries (required before first payment)
_____	_____	Checked first certified payroll from contractor and subcontractors to ensure payment of prevailing wages
_____	_____	Conducted random check of each successive payroll
_____	_____	Wage rate interviews conducted
_____	_____	Checked employee interview wage rate against certified payroll and Labor and Industries approved prevailing rate
_____	_____	Assigned Change Order Numbers _____ (Highways and Local Programs approval required when change order will alter the termini, character, or scope of work. Approval must be obtained before effective date of change order to be eligible for federal participation.)
_____	_____	_____ Prepare change order that details basis and need for the change
_____	_____	_____ Extension of time approved _____ days
_____	_____	_____ Change order signed by contractor

<u>Initials</u>	<u>Date or N/A</u>	
		_____ Change order signed by surety (if required)
		_____ Verbal approval obtained from approving authority
		_____ Signed by approving authority
		_____ Original sent to contractor
		_____ Copy of approved change order sent to Regional Highways and Local Programs Engineer
		_____ Supplement to Local Agency Agreement approved by Assistant Secretary for Highways and Local Programs
_____	_____	Obtained copy of monthly estimate
		_____ Verified and documented that DBE is performing a commercially useful function prior to making a monthly payment
		_____ Prepared estimate
		_____ Checked estimate
		_____ Estimate sent to contractor
		_____ Estimate received from contractor
		_____ Obtain all "Intent to Pay Prevailing Wages" forms (for first month only; no payment can be made to the contractor until the form is received)
_____	_____	Overview of DBE Work (Chapter 26):
		_____ Verify work being done per Condition of Award Letter
		_____ Conduct on-site review(s) of each DBE to determine if the DBE is performing a commercially useful function (CUF)
		_____ Review change orders that affected DBE work
		_____ DBE goal change approved by Assistant Secretary for Highways and Local Programs
_____	_____	Overview of EEO (Chapter 27):
		_____ Agency designates an EEO officer
		_____ Conduct on-site compliance review
		_____ Monitor DOT Form 820-010 each month for each trade
		_____ Notify contractor of compliance or non-compliance with the contract provisions
		_____ Ensure EEO signs are posted

Project Completion (Chapter 52)

Initials	Date or N/A	
_____	_____	Prefinal inspection by local agency and contractor completed
_____	_____	Final inspection by local construction agency and contractor completed
_____	_____	Report of Non-American Made Material (<u>GSP 0605.GR1</u>) received from contractor
_____	_____	Notice of completion sent to contractor
_____	_____	Extension of time request with justification received from contractor
_____	_____	Extension of time granted, _____ days
_____	_____	Extension of time refused, _____ days
_____	_____	_____ liquidated damages
_____	_____	Letter sent notifying contractor of assessed liquidated damages
_____	_____	Copy of completion notice requesting inspection and acceptance by WSDOT and FHWA sent to Assistant Secretary for Highways and Local Programs
_____	_____	Contractor submitted claim
_____	_____	_____ No claim submitted
_____	_____	Notice of completion to:
_____	_____	_____ Department of Labor and Industries
_____	_____	_____ Department of Revenue
_____	_____	FHWA Form 47 required for projects on NHS routes _____ Yes
_____	_____	over \$1 million _____ No
_____	_____	_____ Received from contractor
_____	_____	Received "Affidavit of Wages Paid" from contractor and subcontractors
_____	_____	Received ESA species listing for the project every six months
_____	_____	Received "Quarterly Report of Amounts Credited as DBE Participation" from contractor
_____	_____	Release received from Department of Labor and Industries
_____	_____	Release received from Department of Revenue
_____	_____	Comparison of preliminary and final quantities sent to approving authority
_____	_____	Material certification form sent to approving authority
_____	_____	Completed "Report of Contractor's Performance" for prime contractor
_____	_____	As built plan completed (to be retained indefinitely)
_____	_____	Final record book #1 completed
_____	_____	Final estimate approved by the approving authority
_____	_____	Final estimate received from contractor
_____	_____	Paid final estimate
_____	_____	Released retained percentage from escrow or mailed check to contractor

Project Closure (Chapters 23 and 53)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Completion letter sent to Regional Highways and Local Programs Engineer (within 15 days after project is completed)
_____	_____	Final billing sent to Regional Highways and Local Programs Engineer (within 90 days after completion)
_____	_____	Completed final field inspection by the Regional Highways and Local Programs Engineer. Deficiencies (if any) will be noted on DOT Form 140-500.
_____	_____	Resolve deficiencies found during the above field inspection
_____	_____	Informed by Regional Highways and Local Programs Engineer of WSDOT final billing approval

16:P65:DP/LAG1